

CHAPTER: 300

Business/Budget

DEPARTMENT ORDER:

307 – Department Grant Program

OFFICE OF PRIMARY  
RESPONSIBILITY:

FS

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# Arizona Department of Corrections Rehabilitation and Reentry



Department Order Manual

A handwritten signature in black ink, appearing to read "Ryan Thornell".

Ryan Thornell, Director

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## **PURPOSE**

The Department seeks to apply for grants which fit within its mission and strategic plan. This Department Order establishes the processes and requirements for the identification, development and review of grants and the coordination and monitoring of grant awards.

## **APPLICABILITY**

This Department Order applies to all employees involved in the development and/or application of federal, state, local or private grants for allocation within the Department.

## **RESPONSIBILITY**

The **Assistant Director for Financial Services** shall oversee the Department's Grant Program. The **Grants and Accounting Manager** shall supervise the Grants Management Unit and coordinate the Department's Grant Program.

## **PROCEDURES**

### **1.0 IDENTIFYING AVAILABLE GRANT OPPORTUNITIES**

1.1 The Grants Management Unit shall:

1.1.1 Research the availability of suitable grants.

1.1.2 Research and review the following grant information:

1.1.2.1 Grant announcements

1.1.2.2 Guidelines

1.1.2.3 Background information

1.1.2.4 Any other required documentation

1.1.3 Identify potential grant opportunities for which the Department should apply and disseminate the information to the Assistant Directors who may benefit from the identified grant opportunities.

1.1.3.1 The Grants Management Unit shall communicate with the Assistant Directors to ascertain their level of interest and their recommendations in pursuing grant opportunities which have been identified for them.

1.1.4 With approval from the **Assistant Director for Financial Services**, present the following information to the **Director**, Deputy Director, **Chief of Staff and Inspector General** for all suitable new grant opportunities.

1.1.4.1 Grant Announcements

1.1.4.2 Pertinent Background and Explanatory Material

1.1.4.3 Recommendations

- 1.2 The Director, Deputy Director, **Chief of Staff** or **Inspector General** shall make final decisions on whether or not to apply for new grants.
- 1.3 Assistant Directors shall approve the continuation of existing grants.

## 2.0 DEVELOPING AND REVIEWING GRANT APPLICATIONS

- 2.1 When the Department applies for a grant, the appropriate Assistant Director shall designate an employee within **their** Division as a subject matter expert to work with the Grants Management Unit.
- 2.2 The designated subject matter expert shall:
  - 2.2.1 Design/develop a program concept.
  - 2.2.2 Obtain approval from the Assistant Director to proceed with the concept.
  - 2.2.3 Forward the approved program concept to the Grants Management Unit.
  - 2.2.4 Prepare and complete all assigned components/sections of the grant application, as determined by the Grants Management Unit.
- 2.3 The Grants Management Unit shall:
  - 2.3.1 Provide support to designated subject matter experts in grant proposal development, applications and budgets.
  - 2.3.2 Review the submitted program concept to determine if it will meet all grant requirements and guidelines.
  - 2.3.3 Develop a timeline and task assignments for grant application preparation and submission.
  - 2.3.4 Complete assigned grant application components and compile completed grant applications for approval.
  - 2.3.5 Provide the completed grant application package with a summarizing cover memo to the subject matter expert for approval by the Assistant Director.
  - 2.3.6 Present the completed grant application package to the Director, Deputy Director, **Chief of Staff and Inspector General** with a summarizing cover memo indicating approval by the Assistant Director, and obtain their **approval** recommending or not recommending submission.
  - 2.3.7 Input the grant application and all pertinent data into the State Grant System (currently eCivis) website as required.
    - 2.3.7.1 As designated by the State, eCivis is currently the official grant file of record.

## 3.0 COORDINATING AND MONITORING GRANT AWARDS

- 3.1 The Grants Management Unit shall:
  - 3.1.1 Monitor the grant application process through to the funding agency's decision.

- 3.1.1.1 The Grants Management Unit shall function only in an advisory and support role in the development, review, coordination, and monitoring of annual grants submitted by the Education Unit.
- 3.1.1.2 The Education Unit shall list members of the Grants Management Unit as Local Education Administrator's with the Arizona Department of Education so that the following are included in the central grant repository:
  - 3.1.1.2.1 All submitted grant applications
  - 3.1.1.2.2 Grant award documentation
  - 3.1.1.2.3 Grant award change/adjustment notifications
- 3.1.2 Act as the liaison between the Department and federal, state and local governmental agencies, or other funding source(s) during the grant application process.
- 3.1.3 Provide status updates on grant applications and awards to the Director, Deputy Director, **Chief of Staff, Inspector General**, Assistant Directors, Bureau Administrators or their designees as required.
- 3.1.4 Notify appropriate employees when a grant application is awarded or declined.
- 3.1.5 Maintain the central grant repository for all Department grant applications, awards and documentation.
- 3.1.6 Retain all grant files in eCivis in accordance with grantor and Department record retention requirements.
- 3.1.7 Update eCivis documentation to reflect all revisions and changes made to the grant award as required for upload into Arizona Financial Information System (AFIS).
- 3.1.8 Maintain documentation of employee's time and effort spent on each grant award through the use of the Employee Time and Effort Log, Form 307-3 or similar forms required by the funding source or grantor.
  - 3.1.8.1 This applies to employees paid through grant funding or used as a match for grant funding.
- 3.1.9 Prepare and submit a Grant Adjustment Notice (GAN) for the facilitation of the following:
  - 3.1.9.1 Budget modifications
  - 3.1.9.2 Changes to authorized signing officials
  - 3.1.9.3 Changes in grantee contact or alternate contact information
  - 3.1.9.4 Changes in grantee name
  - 3.1.9.5 Changes in grantee address
  - 3.1.9.6 Changes to the scope of the grant

- 3.1.9.7 Changes in grant project period
  - 3.1.9.8 Program office approvals for special allowable costs or cost limitations
  - 3.1.9.9 Sole source approvals for procurement purposes
  - 3.1.10 Provide technical assistance as necessary to the Program Manager for:
    - 3.1.10.1 Monitoring the financial status of grant awards.
    - 3.1.10.2 Ensuring all of the requirements and conditions of the grant award are fulfilled and completed by the established deadlines.
  - 3.1.11 **Review and approve all contracts and agreements involving grants to ensure the scope of work aligns with the grant uses and application scope of work.**
- 3.2 The appropriate Assistant Director shall assign a Program Manager to administer the grant.
  - 3.2.1 The Program Manager shall:
    - 3.2.1.1 Ensure the following are sent to the Grants Management Unit and the **Grants and Accounting Manager**:
      - 3.2.1.1.1 A copy of the grant
      - 3.2.1.1.2 The Award Letter
      - 3.2.1.1.3 The signed contract/agreement, if applicable
    - 3.2.1.2 Ensure all grant award requirements and conditions including program reports required by the grantor are fulfilled and completed according to established deadlines.
      - 3.2.1.2.1 Copies of all reports shall be forwarded to the Grants Management Unit.
    - 3.2.1.3 **Provide assistance, as necessary, to the Grant and Accounting Manager in the completion and filing of grant financial reports.**
- 3.3 The **Grants and Accounting Manager** shall have responsibility for the fiscal accounting of all grants including, but not limited to:
  - 3.3.1 Ensuring Department Order #302, Contracts and Procurement is followed.
  - 3.3.2 Encumbering purchase orders for grants and paying all invoices for grant purchases.
  - 3.3.3 Requesting reimbursement drawdowns from funding source or grantor.
  - 3.3.4 Complying with all grant administrative financial guidelines, including filing timely financial reports with the funding source or grantor.
  - 3.3.5 Provide monthly and/or quarterly financial reports **for inclusion into eCivis.**

## **4.0 GRANT SUB-RECIPIENT COORDINATING AND MONITORING**

4.1 The Grants Management Unit shall:

- 4.1.1 **Review and approve** all sub-recipient agreements signed by the **Chief Procurement Officer or designee, to ensure the agreement** meets the requirements set forth in 2CFR §200.331.
- 4.1.2 Enter all sub-recipient agreements into the Federal Funding Accountability and Transparency Act Subaward Reporting System (FSRS) within 30 calendar days of the agreement execution.
- 4.1.3 Have responsibility for monitoring the programmatic and financial activities of grant-funded sub-recipients in order to ensure proper stewardship of federal and state funds.
- 4.1.4 Establish a sub-recipient award/monitoring system to ensure that in addition to achieving performance goals, sub-recipients comply with applicable federal laws and regulations, and with the provisions of grant award special conditions as outlined in the Technical Manual.

## **IMPLEMENTATION**

The Assistant Director for Financial Services shall update and maintain a Technical Manual, which at minimum includes the following:

- Identifies resources and procedures for grant research
- Provides guidelines for grant announcement distribution
- Provides guidelines for the development of grant concepts, proposal narratives, and budgets
- Identifies the processes for registration and certification required to apply for federal grants
- Provides guidelines for the sub-recipient award/monitoring system
- Provides guidelines for access to **the** federal and state grant management systems
- Identifies required internal and external reports for grant compliance and documentation

## **DEFINITIONS/GLOSSARY**

Refer to the Glossary of Terms **for the following**:

- **Draw Down**
- **Grant Adjustment Notice (GAN)**
- **Match or Cost Sharing**
- **Sub-Recipient**

## **FORMS LIST**

307-3, Employee Time and Effort Log

## **AUTHORITY**

A.R.S. §41-744, Nonconformity with Federal Regulations Granting Federal Funds

A.R.S. §41-1605, Power to Accept and Expend Gifts

A.R.S. §41-2702, Solicitation and Award of Grant Applications

**2 CFR, Part 225** – Cost Principles for State, Local and Indian Tribal Governments

2CFR §200.331 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards